

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ROBERT B. PHELPS

APPLN. NO.: 10/636,125

FILED: AUGUST 7, 2003

METHOD OF ENHANCING VALUE OF PENSION PLAN ASSETS

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT

Enclosed herewith for consideration by the Examiner is an Information Disclosure Form PTO/SB/08a/B together with a copy of each document listed thereon.

Respectfully Submitted,

R. Andrew Patty II Reg. No. 38,992 Attorney of Record

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

First Named Inventor Robert B. Phelps Art Unit 3629 (use as many sheets as necessary) Examiner Name Sheet 1 οf Attomey Docket Number S-816

U.S. PATENT DOCUMENTS Document Number ages, Columns, Lines, Where Publication Date Name of Patentee or Cite Relevant Passages or Relevant MM-DD-YYYY Applicant of Cited Document nitials No 1 Number Kind Code Figures Appear US-1 US- 4969094 11-06-1990 Halley et al. HS-2 US- 5136502 08-04-1992 Van Remortel et al. US-3 US-5974390 10-26-1999 Ross HS-4 us-20020035489 AI 03-21-2002 Herman et al us-US-5 20030018498 A1 01-23-2003 Banks ŪS-US. US-HS-US-US-US-US-US-US-IJS-US-US-US-IIS.

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Examiner Initials	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				
/VF/	L-I	PANKO, Ron; "Cashing Out"; Life Settlements; Life/Health; Bests Review; April 2002; 4 pages.				
/VF/	L-2	KATT, Peter; "A Life Settlement Update; And Life Insurance in Pension Plans"; AAII Journal; May 2003; Volume XXV; No. 4; pages 33-35.				
/VF/	L-3	SAVAGE, Terence; "Life Settlements Require A Complete Underwriting Workup"; National Underwriter; Life & Health/Financial Services Edition; October 28, 2002; 2 pages.				
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/VF/	L-5	BUERGER, Alan H.; "Life Settlements Come of Age"; Trusts & Estates; November 2002; 4 pages.				
/VF/	L-6	DOHERTY, Neil A., et al.; "The Benefits of A Secondary Market For Life Insurance Policies"; publication date unknown; (received from applicant postfiling); 27 pages.				
/VF/	L-7	DOHERTY, Neil A. et al.; "The Benefits of A Secondary Market For Life Insurance Policies"; Real Property, Probate and Trust Journal; Vol. 38; Number 3; Fall 2003; pages 449-478.				
/VF/	L-8	De SIMONE, Marcella: "Life Settlement Association Seeks To Set Up Accountability Standards"; National Underwriter; September 29, 2003; pages 8 and 10.				
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		OTHER PRIOR ART NON PATENT LITERAT	TUDE DOCUM	AFNITO		
Examiner Initials	Cite	Include name of the author (in CAPITAL LETTERS), title of the articlitem (book, magazine, journal, serial, symposium, catalog, etc.), date,	le (when appropris	ate), title of the	T ²	
0.151	L-12	publisher, city and/or country where published. CONNOLLY, Jim, "Life Settlement Proposals Could Affect Viatical Brokers And Contracts", National Underwriter, September 29, 2003, page 10				
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